

U.S. Department of Transportation | Office of Inspector General

# ***Organizational Assessment***

**FY 2022 | October 1, 2021 – September 30, 2022**

# Contents

A Message from the Inspector General	3
About This Assessment	4
Mission, Vision, and Core Values	5
Strategic Goal 1	6
Strategic Goal 2	7
Strategic Goal 3	8
Strategic Goal 4	9
Strategic Goal 5	10
Office of Auditing and Evaluation	12
Office of Investigations	13
Office of Administration and Management	14
Office of Chief Counsel	15
Office of Strategic Communications and Programs	16
Office of Quality Assurance	17



## *A Message From the Inspector General*

The Office of the Inspector General (OIG), Department of Transportation (DOT) is proud to conduct significant transportation safety, oversight, and management work for Congress, the Department, and the American public. We carry out this work through our statutory responsibilities under the Inspector General Act while supporting DOT's mission and strategic goals. Through our mission and core values, we contribute to DOT's efforts to achieve a safer, more efficient transportation system. We also work closely with Congress, senior DOT officials, and law enforcement to enhance the effectiveness and integrity of DOT programs and investigate allegations of fraud, waste, and abuse.



This year, similar to most Federal agencies, OIG returned to the office after more than 2 years of mandatory telework. Our staff responded to that transition in the same way they handled the challenges created by the COVID-19 pandemic—with determination, creativity, and innovation. Thanks to their dedication and resilience, in fiscal year (FY) 2022, we returned \$16 for every dollar appropriated to us—an impressive return on investment. We issued 42 audit reports with a total of 222 recommendations, including financial recommendations totaling over \$1.5 billion. Our investigative work resulted in 71 convictions; 54 indictments; and \$58.4 million in fines, forfeitures, restitutions, and recoveries.

In addition, we continued to provide timely and transparent communication on the results of our audits and investigations, meeting all requirements for weekly, monthly, and semiannual reports to congressional and DOT stakeholders. We consistently evaluate and, as appropriate, update our planning and assessment mechanisms to ensure we are achieving mission outcomes and remain prepared to address new Federal initiatives and emerging issues.

The following assessment of our organization provides further details about these mechanisms, their associated outcomes, and the many important accomplishments of our committed staff in FY 2022.

A handwritten signature in black ink that reads "Eric J. Soskin". The signature is fluid and cursive.

Eric J. Soskin

# About This Assessment

The OIG Organization Assessment is one of three key components in our strategic planning and improvement process. We conduct this assessment at the end of the Federal fiscal year to ensure our work and results remain closely aligned with our Strategic Plan and the Department’s mission as outlined by our statutory responsibilities.

## OIG’S STRATEGIC PLAN 2022–2026

Our 5-year strategic plan describes the goals, strategies, and performance measures for achieving our mission and maintaining the core values of OIG’s work—safety, accountability, and integrity. The plan’s five strategic goals provide a roadmap for our audits, investigations, stakeholder communication, and organization improvement efforts.

## OIG’S FY 2022 STRATEGIC IMPLEMENTATION PLAN

This plan, compiled in the first quarter of the fiscal year, quantifies our performance measures into specific, measurable benchmarks to evaluate our progress each year. The quantities in this plan are the result of a thorough analysis of our results data over the last several years. These benchmarks are also the basis of the results-driven performance measures in our senior executives’ individual performance plans to ensure a cohesive vision of our success and path to strategic goals.

## OIG’S FY 2022 ORGANIZATION ASSESSMENT

This fiscal year-end assessment reports our progress against the measures and benchmarks laid forth in our other strategic planning documents. We share these results with our staff as well as our external stakeholders in order to promote accountability and transparency. We will use this year’s results to identify areas for improvement in the coming fiscal year.

## STATUTORY RESPONSIBILITIES

The Inspector General Act of 1978, as amended, requires Offices of Inspector General to

- conduct independent and objective audits and investigations;
- promote economy, efficiency, and effectiveness;
- prevent and detect waste, fraud, and abuse;
- review pending legislation and regulations; and
- keep Congress and the Secretary fully and currently informed.



## Mission

OIG enhances DOT's programs and operations by conducting objective investigations and audits on behalf of the American public.

## Vision

OIG is a high-performing organization that strives to achieve a safer and more efficient national transportation system; greater integrity, transparency, and performance within DOT programs; and a supportive, diverse, equitable, and inclusive workplace for OIG employees.

## Core Values



### INDEPENDENCE

Establishes trust in OIG. Our organization and its employees uphold their independence to ensure the work is objective and impartial.



### ACCOUNTABILITY

Is at the heart of OIG's work. We seek to ensure that all DOT agencies are accountable for their results and for the resources the public invests in them. OIG also holds itself accountable to the highest standards of integrity, transparency, and excellence.



### INNOVATION

Ensures OIG's continued relevance. We help the Department identify opportunities for improving existing programs and respond to emerging issues. We also seek opportunities to enhance OIG's performance, agility, and resilience.



### COMMUNITY

Is critical to OIG's success. We maintain a culture of civility, diversity, inclusion, and fairness. OIG strives to provide its employees with physical and psychological safety, opportunities for growth, and recognition for their outstanding contributions and achievements.



# Strategic Goal 1

## PROMOTE TRANSPORTATION SAFETY.

### STRATEGIES

- Investigate transportation safety-related crimes.
- Conduct audits and other reviews to improve DOT safety programs.
- Adjust investigative and audit priorities based on evolving transportation technologies, trends, and emerging issues.

### PERFORMANCE MEASURES

Percentage of safety-related cases that result in a favorable outcome for the public.

- At least 30 percent of all investigations opened address transportation safety-related issues.
- At least 30 percent of transportation safety-related cases are accepted for civil or criminal action.

Percentage of safety-related recommendations closed and implemented by the Department.

- At least 30 percent of safety-related recommendations are closed and implemented by the Department.

Development of annual risk-based investigative and audit plans that include a focus on safety.

- Develop a risk-based annual investigative plan in which 30 percent of proposed investigations include a focus on safety-related crimes.
- Develop a risk-based annual audit plan in which at least 20 percent of total proposed audits (excluding single audit-related projects) focus on safety.

### RESULTS

- 32.5 percent of all investigations opened addressed transportation safety.
- 84 percent of all transportation safety cases were accepted for civil or criminal action.
- 22 percent of total recommendations closed were safety related.
- 31 percent of proposed investigations in our risk-based annual investigative plan included a focus on safety-related crimes.
- 27 percent of total proposed audits in our risk-based annual audit plan focused on safety.

# Strategic Goal 2

## IMPROVE DOT'S INFRASTRUCTURE AND TRANSPORTATION INVESTMENTS.

### STRATEGIES

- Investigate allegations of fraud, waste, and abuse in DOT programs and funding.
- Conduct audits and other reviews to improve DOT's investment programs and oversight of DOT funding recipients.
- Adjust investigative and audit priorities based on new developments in transportation funding, policy, and technology.

### PERFORMANCE MEASURES

Percentage of grant-fraud cases that result in a favorable outcome for the public.

- At least 30 percent of all investigations opened address transportation grant and procurement issues.
- At least 30 percent of transportation grant- and procurement-related cases are accepted for civil or criminal action.

Percentage of transportation investment-related recommendations closed and implemented by the Department.

- At least 15 percent of transportation investment-related recommendations are closed and implemented by the Department.

Development of annual risk-based investigative and audit plans that include a focus on transportation investments.

- Develop a risk-based annual investigative plan in which 30 percent of proposed investigations focus on grant- and procurement-related crimes.
- Develop a risk-based annual audit plan in which at least 20 percent of total proposed audits (excluding single audit-related projects) focus on transportation investments.

### RESULTS

- 32.5 percent of all investigations opened addressed transportation grant and procurement issues.
- 88 percent of transportation grant- and procurement-related cases were accepted for civil or criminal action.
- 38 percent of total recommendations closed were transportation investment related.
- 40 percent of total proposed investigations in our risk-based annual investigative plan addressed grant or procurement fraud.
- 25 percent of total proposed audits in our risk-based annual audit plan focused on transportation investments.

# Strategic Goal 3

## ENHANCE DOT'S BUSINESS OPERATIONS.



### STRATEGIES

- Conduct audits and other reviews to improve DOT's financial policies, procedures, and management practices and to assess the Department's compliance with requirements.
- Conduct audits and other reviews to improve DOT's information technology policies, procedures, and management practices and to assess the Department's response to cybersecurity threats.
- Conduct audits and other reviews to improve DOT's acquisition and procurement functions.
- Investigate allegations of fraud, waste, and abuse by DOT employees.
- Adjust investigative and audit priorities based on new developments in the Department.

### PERFORMANCE MEASURES

Percentage of financial, procurement, information technology, and employee integrity cases that result in a favorable outcome for the public.

- At least 20 percent of employee integrity investigations closed result in administrative action.

Percentage of financial, procurement, and information technology recommendations closed and implemented by the Department.

- At least 30 percent of financial, procurement, and information technology-related recommendations are closed and implemented by the Department.

Development of annual risk-based investigative and audit plans that include a focus on DOT business operations

- Develop a risk-based annual investigative plan in which 10 percent of proposed investigations focus on employee integrity issues.
- Develop a risk-based annual audit plan in which at least 45 percent of total proposed audits (excluding single audit-related projects) focus on DOT's business operations.

### RESULTS

- 33 percent of employee integrity investigations closed resulted in an administrative action.
- 27 percent of financial, procurement, and information technology-related recommendations were closed and implemented by the Department.
- 15 percent of total proposed investigations in our risk-based annual investigative plan focused on employee integrity issues.
- 48 percent of total proposed audits in our risk-based annual audit plan focused on DOT's business operations.



# Strategic Goal 4

## MAINTAIN OIG'S POSITION AS A LEADER.

### STRATEGIES

- Provide employees with the resources and services they need to accomplish OIG's mission.
- Evolve policies to define the future of OIG's workplace and continuously improve efficiency and effectiveness.
- Ensure the integrity of OIG's assets.
- Communicate the results of OIG's work to the Department, Congress, and the public effectively and timely.

### PERFORMANCE MEASURES

Percentage of fulfilled requests for support, as measured by OIG's customer service resolution and tracking systems.

- At least 80 percent of resolved Office of Administration and Management customer service requests meet length of service timelines.
- At least 80 percent of the time an attorney is assigned to an audit within 5 days of request for legal review of the audit proposal.
- At least 80 percent of the time, provide legal reviews of subpoenas to determine compliance with applicable statutes and case law within 5 business days of receipt.

Timeliness of critical communications to the Department and Congress.

- Issue Semiannual and Top Management Challenges Reports to Congress within mandated timeframes.
- Submit internal financial statements and annual budget requirements in accordance with applicable guidance and within agreed-upon deadlines.
- Post at least 80 percent of final audit reports to OIG's website within 3 days of issuance.
- Deliver at least 80 percent of OIG's Weekly Reports to the Secretary within established timeframes.

### RESULTS

- OIG successfully piloted a Help Desk ticket tracker in September 2022 and will provide updated data on service request fulfillment in FY 2023.
- An attorney was assigned to an audit within 5 days of a request for legal review of the audit proposal 96.6 percent of the time.
- Legal reviews of subpoenas to determine compliance with applicable statutes and case law were provided within 5 business days of receipt 100 percent of the time.
- OIG issued all required Semiannual Reports to Congress within statutorily mandated timeframes.
- OIG submitted internal financial statements and its annual budget submission with applicable guidance and within all agreed-upon deadlines.
- OIG posted 95 percent of its audit reports to its website within 3 days of issuing and delivering them to DOT and Congress.
- OIG provided 100 percent of updates on upcoming audits, recently completed audits, and investigative results to the Secretary of Transportation on a weekly basis.



# Strategic Goal 5

## ADVANCE OIG'S WORKFORCE EXCELLENCE.



### STRATEGIES

- Recruit, support, and retain a workforce of talented and engaged employees.
- Empower OIG employees to achieve outstanding results through professional development, training, and thoughtful, effective feedback.
- Maintain and implement a strategic workforce plan to assure that OIG meets continuing workforce needs.
- Instill a workplace culture characterized by civility, diversity, inclusion, and fairness.
- Promote employee wellbeing through transparency, innovation, workplace flexibility, and resilience.
- Recognize the outstanding contributions and achievements of OIG divisions, teams, and employees.

### PERFORMANCE MEASURES

Achievement of the OIG's strategic workforce plan milestones.

- Develop a new 2-year Human Capital Operations Plan (HCOP).
- At least 90 percent of new hires attend New Employee Orientation within their first year of OIG employment.
- At least 90 percent of all employees complete training on the Inspector General's Civility, Diversity, and Inclusion Topic of Focus.
- Develop a strategic plan to reinforce OIG's commitment to civility, diversity, equity, inclusion, and accessibility and to guide future progress.
- Design a recruiting initiative that leverages multiple forms of outreach and communication, including focus on under-represented groups in the OIG workforce.

### RESULTS

- OIG has developed a HCOP for FY 2022–FY 2023 to improve key human resource programs and maximize employee and organizational performance.
- 83 percent of new hires attended New Employee Orientation in FY 2022.
- 98 percent of all employees completed training on the Civility, Diversity, and Inclusion Topic of Focus in FY 2022.
- OIG's *Diversity, Equity, Inclusion, and Accessibility Strategic Plan* was submitted to the White House on March 23, 2022. It detailed quarterly and annual goals, responsible parties, and dedicated resources for each strategic area.
- OIG produced a recruitment brochure and video, set up a *Careers at OIG* email account for potential applicants, and expanded its Pathways Intern Program contact list to include universities and colleges with under-represented groups.



## PERFORMANCE MEASURES

Federal Employee Viewpoint Survey (FEVS) and  
OIG internal survey results.

- Exceed 90 percent of the 3-year rolling average on the FEVS Employee Engagement Index.
- Exceed 90 percent of the 3-year rolling average on the FEVS Global Satisfaction Index.
- Achieve at least a 70 percent OIG internal survey participation rate.
- Deliver an internal survey, conduct analysis, and develop action plans based on results on job satisfaction, employee development, and organizational culture.

## RESULTS

- OIG scored 83 percent on the FY 2021 FEVS Employee Engagement Index, the most recent data available.
- OIG scored 81 percent on the FY 2021 FEVS Global Satisfaction Index, the most recent data available.
- OIG achieved a 70-percent internal survey participation rate in FY 2022.
- In response to the results from its FY 2022 internal survey, OIG has established an action plan with two primary focus areas: (1) updating and communicating our policies and procedures and (2) building on our civility, diversity, and inclusion efforts. We will also address other areas highlighted in the survey, such as our performance management system and employee wellbeing.










# Office of Auditing and Evaluation

## MISSION FOCUS

OIG develops and maintains a 24-month audit plan, updated annually, to maximize resources and provide the greatest potential benefits to DOT and the public. As part of this plan, we ensure that audits address key DOT goals, risks, and challenges; meet mandates and congressional and Secretary requests; and cover other key issues noted by our audit staff. Our most recent audit plan update, completed in November 2021, identified over 170 audits in critical areas across DOT's Operating Administrations.

As required by law, OIG also issues an annual report on DOT's top management challenges—a forward-looking assessment of DOT's most significant challenges to meeting its mission for the coming fiscal year. In identifying these challenges, we consider their safety impact, documented vulnerabilities, large dollar implications, and the ability of the Department to effect change.

## AUDIT ACCOMPLISHMENTS

	audit reports issued	<b>42</b>
	recommendations	<b>222</b>
	financial impact of DOT-OIG audits	<b>\$1.55b</b>
	funds that could be put to better use	<b>\$1.16b</b>
	questioned costs	<b>\$111.36m</b>
	unsupported costs	<b>\$275.63m</b>
	testimony before Congress	<b>1</b>

## SUPPORTING DOT'S EFFORTS TO MEET IIJA RESPONSIBILITIES

Responding to the 2022 Infrastructure Investment and Jobs Act (IIJA) will be one of DOT's highest priorities for years to come. IIJA authorized more than \$660 billion for transportation funding over the next 5 years, which directed the Department to establish new discretionary and formula programs. Given the inherent challenges for DOT in carrying out its IIJA responsibilities and overseeing this influx of funds, OIG will provide an initial product summarizing crosscutting oversight risks and suggestions for mitigating risks. We will announce future work related to IIJA as needed and will coordinate with DOT staff in advance to ensure we focus on the areas of increased risk.

# Office of Investigations

## MISSION FOCUS

OIG's Office of Investigations focuses on criminal cases that have the greatest direct impact on DOT programs and operations, particularly where regulatory enforcement action is ineffective. To determine if an investigation is warranted, we weigh the seriousness of the conduct, impact on public safety, availability of investigative resources, prosecutorial appeal, and any likely deterrent effects. Based on available resources, we generally focus our investigative efforts on three overarching areas: transportation safety, grant and procurement fraud, and employee integrity.

## INVESTIGATIVE ACCOMPLISHMENTS

	hotline complaints	<b>3,976</b>
	convictions/indictments	<b>71/54</b>
	finances, forfeitures, restitutions, and recoveries	<b>\$58.4m</b>

## PROTECTING THE PUBLIC FROM DECEPTIVE MOVING PRACTICES

In FY 2022, OIG protected the American public by investigating rogue moving companies that used deceptive advertising practices, held goods hostage, and stole from customers. For example, after an OIG investigation, a judgment was entered against a Florida moving company and its owner for deceptive moving practices. The judgment totaled \$21,789,306, including \$5.28 million in restitution and \$16.5 million in civil penalties.

## COMBATING CARES ACT FRAUD

In FY 2022, to deter Coronavirus Aid, Relief, and Economic Security (CARES) Act-related fraud, OIG worked to ensure that only eligible transportation firms utilized CARES Act funds. Following an OIG investigation, two Georgia individuals were sentenced to 42 months of incarceration, 6 years of supervised release, \$363,300 in restitution, and \$300 in special assessments for submitting loan applications on behalf of sham trucking companies.

# *Office of Administration and Management*

## MISSION FOCUS

The Office of Administration and Management provides a full range of administrative services, including human resources, training, information technology, facilities management, and acquisitions and procurements. Our mission is to provide the right people, technology, property, services, and processes to support the needs of OIG.

## SUPPORTING OIG'S RETURN TO THE OFFICE

The Office of Administration and Management provided vital support when OIG returned to the office in May 2022. Key projects included: preparing workstations that hadn't been used in over 2 years so employees could hit the ground running; developing and communicating FAQs and a new Telework and Remote Work policy to staff; supporting OIG's new and safe hybrid work environment with upgraded video systems in OIG's 18 conference rooms, nationwide, as well as training staff to use those systems; and re-establishing an in-person IT Help Desk at OIG Headquarters and providing key in-person facilities support. We also consolidated purchases across OIG, improving program efficiency, responsiveness, internal controls, and accuracy by ensuring staff follow policies and procedures.

## ADVANCING OIG'S REAL ESTATE STRATEGIC PLAN

The Office of Administration and Management made significant progress in advancing OIG's Real Estate Portfolio Strategic Plan. For example, we identified a suitable new site for the Chicago Regional Office and oversaw the subsequent lease award. These efforts cleared the way for the design and construction phases; the office relocation is expected to occur in May 2023.







## *Office of Chief Counsel*

### MISSION FOCUS

The Office of Chief Counsel provides key mission support services. The office handles all OIG Freedom of Information Act (FOIA) requests from the public; manages OIG's Ethics Program; and provides legal advice and assistance to senior OIG officials, auditors, investigators, and administrative staff.

### ACHIEVING RESULTS THROUGH IMPROVED SYSTEMS

This year, the Office of Chief Counsel dedicated resources to transitioning to a new automated system for FOIA programs and tailoring it to OIG's needs. The Ethics Program developed standardized processes for reviewing financial disclosures reports through a new online system. Both systems will result in a simpler interface for OIG employees and improved reviews by the Ethics and FOIA teams.



# Office of Strategic Communications and Programs

## MISSION FOCUS

The Office of Strategic Communications and Programs serves as an organizational center of excellence—enhancing the quality and effectiveness of OIG’s operations, products, and communications by providing innovative solutions and collaborative support. Within each of these areas, our office enhances the quality and effectiveness of OIG’s operations, products, and communications by providing innovative solutions and collaborative support.

## EXCELLENCE IN FINANCIAL MANAGEMENT AND INTERNAL CONTROLS

The Office of the Chief Financial Officer (CFO) planned, justified, and managed a \$103.2 million budget supporting 406 full-time equivalents and successfully navigated new requirements posed by the Infrastructure Investment and Jobs Act. In addition, the CFO administered and oversaw mandated financial management and internal controls testing. No significant control deficiencies or material weaknesses were reported for OIG following independent tests of its management control and financial management systems. Tests included the independent testing of two entity-level focus areas—Information & Communication and Monitoring—and three business process focus areas: Budget, Time and Attendance, and Procure-to-Pay. In general, these tests are designed to provide reasonable assurance that OIG complies with applicable laws and requirements regarding obligations and costs; funds, property, and other assets; accounting practices; audit findings; and financial systems.

## ENHANCED CDI INITIATIVES

In FY 2022, OIG made significant progress to meet Agency-wide and Administration priorities for Civility, Diversity, and Inclusion (CDI). In response to Executive Order (EO) 14035, OIG issued its first-ever *Diversity, Equity, Inclusion, and Accessibility Strategic Plan*. The plan describes ongoing activities and long-term plans for ensuring that all OIG employees know that they belong and are valued and respected for their ideas and contributions. It demonstrates how our CDI program meets the EO 14035 objectives of making Federal agencies models “for diversity, equity, inclusion, and accessibility, where all employees are treated with dignity and respect.” In addition, to ensure awareness and practice of CDI principles among the entire staff, each year our CDI Director provides targeted training on a Topic of Focus. In FY 2022, we provided 14 sessions on *Perceptions: At the Intersection of Reality and the Imagined* to all OIG employees, nationwide.

Finally, we awarded a contract to ensure OIG meets legislative requirements for accessibility of published documents, as provided in Section 508 of the Rehabilitation Act, recently updated in 2018. These efforts are a key element of OIG’s CDI program.

# Office of Quality Assurance

## MISSION FOCUS

OIG maintains a Quality Assurance and Improvement Program to ensure that all work performed—audits; investigations; legal, legislative, and external affairs; and administrative—adheres to established OIG policies and procedures and meets established standards of performance. The quality of all our work significantly affects our credibility and effectiveness in performing oversight.

The Office of Quality Assurance maintains a 3-year schedule of offices and functions to be reviewed and updates the schedule annually. Quality Assurance Review (QAR) reports include an opinion on internal controls and make recommendations where improvements are needed.

This office also serves as the point-of-contact for external reviews of our audit and investigative work, including our adherence to Generally Accepted Government Auditing Standards (GAGAS), the Council of the Inspectors General on Integrity and Efficiency guidelines, and the Attorney General Guidelines for Federal OIGs with statutory law enforcement authority. These external reviews occur every 3 years and are conducted by our peers in the Federal oversight and accountability community.

## QUALITY ASSURANCE ACCOMPLISHMENTS



internal reviews/external reviews

6/1

## INVESTIGATIONS

QAR reports focus on the Office of Investigations' compliance with professional standards, including investigative and evidence procedures. When appropriate, we bring opportunities for improvement to the attention of the relevant Special Agent-in-Charge. In FY 2022, we reported on activities across three regions and assessed one individual office (twice).

## AUDITS AND EVALUATIONS

QAR reports focus on the Office of Auditing and Evaluations' compliance with professional standards, including those for audit documentation and supervisory review procedures. When appropriate, we bring opportunities for improvement to the attention of the relevant Assistant Inspector General. In FY 2022, we reported on activity for one audit team.

The Office of Auditing and Evaluation also underwent a peer review this fiscal year. The review did not make any recommendations, concluding that our audit organization's system of quality controls was suitably designed and complied with applicable professional standards established by GAGAS.





U.S. Department of Transportation  
**Office of Inspector General**

**Fraud, Waste, & Abuse**



**Hotline**

*<https://www.oig.dot.gov/hotline>*

*[hotline@oig.dot.gov](mailto:hotline@oig.dot.gov)*

*(800) 424-9071*

**Audit Recommendation**  
**DASHBOARD** 

Click the above image to browse  
the OIG website.



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**Strategic Plan 2022-2026**

Click the above image to review  
OIG's current Strategic Plan.